



PATENT  
HRL065

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Guifrida et al.

Serial No.: 09/835,064

Group Art Unit: 2175

Filed: 4/13/2001

Examiner: Abel-Jalil

For: Method and Apparatus for Automatically Extracting Metadata from Electronic Documents Using Spatial Rules

Hon. Assistant Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

Applicant petitions for acceptance of the declarations for this application without the signature of Eddie Shek, whose most recent known address is entered into the declaration form. Mr. Shek was contacted numerous times over the past several months regarding signing the declaration for this application as well as the assignment. The papers were both faxed and mailed to him via postal mail. When contacted on or about September 20, 2001, Mr. Shek expressed concern for signing the documents. Subsequent attempts to contact Mr. Shek have met with no response, the most recent of such attempts being on October 3, 4, and 5. Contact attempts have also been attempted via e-mail with no greater success.

Therefore, because of Mr. Shek's apparent unavailability for signing the documents, the remaining Applicants petition for acceptance of the declarations for this application.

In the event the Reviewer wishes to discuss any aspect of this response, please contact the undersigned at the telephone number indicated below.

Respectfully submitted,

Cary Tope-McKay  
Registration No. 41,350

Tope-McKay & Associates  
23852 Pacific Coast Highway #311  
Malibu, CA 90265  
310.589.8158 ph  
310.943.2736 fax  
[cmckay@topemckay.com](mailto:cmckay@topemckay.com)



PTO/SB/93 (10-96)  
Approved for use through 10/31/99. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Signature of person mailing correspondence

Cary Tope-McKay

Typed or printed name of person mailing correspondence

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|  |                             |                               |        |
|--|-----------------------------|-------------------------------|--------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence after initial filing)</i> | <b>Application Number</b>   | 09/835,064                    |        |
|  | <b>Filing Date</b>          | 04/13/2001                    |        |
|  | <b>First Named Inventor</b> | Giuffrida                     |        |
|  | <b>Group Art Unit</b>       | 2475                          |        |
|  | <b>Examiner Name</b>        | Abel-Jalil, Nerveen           |        |
| <b>Total Number of Pages in This Submission</b>  |                             | <b>Attorney Docket Number</b> | HRL065 |

| ENCLOSURES (check all that apply)   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input checked="" type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Amendment / Response   | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition    | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                                      | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):       |
| <input type="checkbox"/> Express Abandonment Request                                    | <input type="checkbox"/> Terminal Disclaimer  | Petition for unavailable inventor  |
| <input type="checkbox"/> Information Disclosure Statement                               | <input type="checkbox"/> Small Entity Statement   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                         | <input type="checkbox"/> Request for Refund   |  |
| <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application    | <b>Remarks</b>  |  |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                 |
|--|-----------------|
| Firm or Individual name                    | Cary Tope-McKay |
| Signature                                  |                 |
| Date                                       | 9/14/01         |

| CERTIFICATE OF MAILING  |      |  |
|---|------|--|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/> |      |  |
| Typed or printed name   |      |  |
| Signature   | Date |  |

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PTO/SB/17 (11-00)  
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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,400.00)

## Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   | 09/835,064        |
| Filing Date          | 04/13/2001        |
| First Named Inventor | Giuffrida         |
| Examiner Name        | Abel-Jall, Neveen |
| Group Art Unit       | 2175              |
| Attorney Docket No.  | HRL065            |

## METHOD OF PAYMENT

- ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
Deposit Account Number   
Deposit Account Name   
☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27
- ☐ Payment Enclosed:  
☐ Check ☒ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

- BASIC FILING FEE**  

| Large Entity Code | Large Entity Fee (\$) | Small Entity Code | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-------------------|-----------------------|-------------------|-----------------------|------------------------|----------|
| 101               | 710                   | 201               | 355                   | Utility filing fee     | 740      |
| 106               | 320                   | 206               | 160                   | Design filing fee      |          |
| 107               | 490                   | 207               | 245                   | Plant filing fee       |          |
| 108               | 710                   | 208               | 355                   | Reissue filing fee     |          |
| 114               | 150                   | 214               | 75                    | Provisional filing fee |          |

**SUBTOTAL (1) (\$ 740.00)**

- EXTRA CLAIM FEES**  

| Total Claims              |         | Extra Claims | Fee from below | Fee Paid |
|---------------------------|---------|--------------|----------------|----------|
| Independent Claims        | -20** = |              |                |          |
| Multiple Dependent Claims | -3** =  |              |                |          |

  

| Large Entity Code | Large Entity Fee (\$) | Small Entity Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-------------------|-----------------------|-------------------|-----------------------|--|----------|
| 103               | 18                    | 203               | 9                     | Claims in excess of 20                                     |          |
| 102               | 80                    | 202               | 40                    | Independent claims in excess of 3                          |          |
| 104               | 270                   | 204               | 135                   | Multiple dependent claim, if not paid                      |          |
| 109               | 80                    | 209               | 40                    | ** Reissue independent claims over original patent         |          |
| 110               | 18                    | 210               | 9                     | ** Reissue claims in excess of 20 and over original patent |          |

**SUBTOTAL (2) (\$ )**

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

- ADDITIONAL FEES**  

| Large Entity Code | Large Entity Fee (\$) | Small Entity Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-------------------|-----------------------|-------------------|-----------------------|--|----------|
| 105               | 130                   | 205               | 65                    | Surcharge - late filing fee or oath  | 130.00   |
| 127               | 50                    | 227               | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139               | 130                   | 139               | 130                   | Non-English specification  |          |
| 147               | 2,520                 | 147               | 2,520                 | For filing a request for ex parte reexamination                            |          |
| 112               | 920*                  | 112               | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 113               | 1,840*                | 113               | 1,840*                | Requesting publication of SIR after Examiner action                        | 400.00   |
| 115               | 110                   | 215               | 55                    | Extension for reply within first month                                     |          |
| 116               | 390                   | 216               | 195                   | Extension for reply within second month                                    |          |
| 117               | 890                   | 217               | 445                   | Extension for reply within third month                                     |          |
| 118               | 1,390                 | 218               | 695                   | Extension for reply within fourth month                                    |          |
| 128               | 1,890                 | 228               | 945                   | Extension for reply within fifth month                                     |          |
| 119               | 310                   | 219               | 155                   | Notice of Appeal   |          |
| 120               | 310                   | 220               | 155                   | Filing a brief in support of an appeal                                     |          |
| 121               | 270                   | 221               | 135                   | Request for oral hearing   |          |
| 138               | 1,510                 | 138               | 1,510                 | Petition to institute a public use proceeding                              |          |
| 140               | 110                   | 240               | 55                    | Petition to revive - unavoidable   |          |
| 141               | 1,240                 | 241               | 620                   | Petition to revive - unintentional   |          |
| 142               | 1,240                 | 242               | 620                   | Utility issue fee (or reissue)   |          |
| 143               | 440                   | 243               | 220                   | Design issue fee   |          |
| 144               | 600                   | 244               | 300                   | Plant issue fee  |          |
| 122               | 130                   | 122               | 130                   | Petitions to the Commissioner  | 130.00   |
| 123               | 50                    | 123               | 50                    | Processing fee under 37 CFR 1.17(a)  |          |
| 126               | 180                   | 126               | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 581               | 40                    | 581               | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 146               | 710                   | 246               | 355                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149               | 710                   | 249               | 355                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179               | 710                   | 279               | 355                   | Request for Continued Examination (RCE)                                    |          |
| 169               | 900                   | 169               | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) (\$ 660.00)**

|                     |                 |                                   |                |
|---------------------|-----------------|-----------------------------------|----------------|
| <b>SUBMITTED BY</b> |                 | <b>Complete (if applicable)</b>   |                |
| Name (Print/Type)   | Cary Tope-McKay | Registration No. (Attorney/Agent) | 41,350         |
| Signature           |                 | Telephone                         | (310) 291-0390 |
|                     |                 | Date                              | 9/4/01         |

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02/08/2002 SSANDARA 00000006 09835064

04 FC:116 400.00 DP

02/08/2002 SSANDARA 00000006 09835064 130.00 DP 03 FC:122

#3

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|                    |                     |                       |                        |
|--------------------|---------------------|-----------------------|------------------------|
| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
| 09/835,064         | 04/13/2001          | Giufreda              | HRL065                 |

## FORMALITIES LETTER



\*OC000000006161913\*

**Tope-McKay & Associates**  
**23852 Pacific Coast Highway #311**  
**Malibu, CA 90265**

Date Mailed: 06/08/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

**FILED UNDER 37 CFR 1.53(b)**

**Filing Date Granted**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**The balance due by applicant is \$ 840.**

|           |           |
|-----------|-----------|
| 01 FC:101 | 740.00 0P |
| 02 FC:105 | 130.00 0P |

***A copy of this notice MUST be returned with the reply.***

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Initial Patent Examination Division (703) 308-1202

**PART 2 - COPY TO BE RETURNED WITH RESPONSE**

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